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Patent and Trademark Office  
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OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JULY 28, 1999

PTAS

LYON & LYON LLP  
JEFFREY W. GUISE  
633 WEST FIFTH STREET, SUITE 4700  
LOS ANGELES, CA 90071-2066



\*101049732A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/14/1999

REEL/FRAME: 009977/0427  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MA, JULIAN K.C.

DOC DATE: 06/12/1998

ASSIGNEE:

UNTD MED & DENT SCHLS OF GUY'S &  
ST. THOMAS'S HOSP  
28TH FLOOR, GUY'S TOWER, GUY'S  
HOSPITAL, LONDON BRIDGE  
LONDON, ENGLAND SE1 9RT

SERIAL NUMBER: 09312157  
PATENT NUMBER:

FILING DATE: 05/14/1999  
ISSUE DATE:

ANTIONE ROYALL, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

RECEIVED  
AUG 04 1999  
U.S. PATENT & TRADEMARK OFFICE



COVER SHEET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Docket No 212/127

101049732

NY 5.14.99

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Ma, Julian K.-C.

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party:

Name: Untd Med & Dent Schls of Guy's & St. Thomas's

Internal Address: 28th Floor, Guy's Tower  
Guy's Hospital, London Bridge

City: London State: England Zip: SE1 9RT

Street Address: Same as above

City: State: Zip:

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

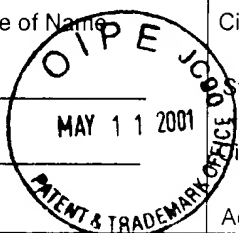
☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date:



4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s). 08434000

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Jeffrey W. Guise

Internal Address: LYON & LYON LLP  
633 West Fifth Street, Suite 4700  
Los Angeles, CA 90071-2066

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed

☐ Charge this Deposit Account if any additional fee is required

09-312-157

8. Deposit Account Number: 12-2475

05/25/1999 AHAYES 00000004 09312157

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05/25/1999 Statement and signature.

(40.00 DP)

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

*Jeffrey W. Guise*

Jeffrey W. Guise, Reg. No. 34,613

Date: 5/14/99

Total number of pages including cover sheet: 2

OMB No. 0651-0011 (exp. 4/94)

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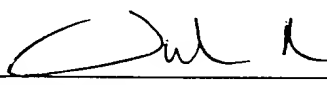
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**ASSIGNMENT**


For valuable consideration, I(we), **Julian K.-C. Ma** of London, England, hereby assigns to UNITED MEDICAL AND DENTAL SCHOOLS OF GUY'S AND ST. THOMAS'S HOSPITALS, a non-profit corporation of Great Britain having a place of business at 28th Floor, Guy's Tower, Guy's Hospital, London Bridge, London SE1 9RT, England, and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the invention and improvements which are the subject of applications for United States Patent entitled **METHOD FOR PRODUCING IMMUNOGLOBULINS CONTAINING PROTECTION PROTEINS IN PLANTS AND THEIR USES**, filed on December 30, 1994 having U.S. Serial No. 08/367,395 and filed on May 4, 1995 having U.S. Serial No. 08/434,000, this assignment including said application, any and all United States and foreign patents granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and I(we) authorize the Assignee to apply in all countries in my name or in its own name for patents and like rights of exclusion and for inventor's certificates for said inventions and improvements; and I(we) agree for myself and my heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this Assignment.

IN WITNESS WHEREOF, I hereto set my hand and seal at London, England, this 12<sup>th</sup> day of June, 1998.

  
Julian K.-C. Ma


 State of ENGLAND :

ss.

 County of LONDON :

Before me this 12<sup>th</sup> day of June, 1998, personally appeared Julian K.-C. Ma, known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he/~~she~~ executed the same as his/~~her~~ free act and deed for the purposes therein contained.



  
Notary Public  
London, England (RUTH M. CAMPBELL)  
My commission expires: with life



UNITED STATES DEPARTMENT OF COMMERCE

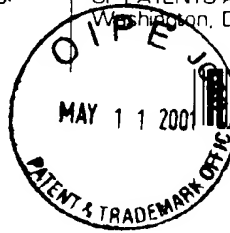
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JULY 28, 1999

PTAS

LYON & LYON LLP  
JEFFREY W. GUISE  
633 WEST FIFTH STREET, SUITE 4700  
LOS ANGELES, CA 90071-2066



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RECORDATION DATE: 05/14/1999

REEL/FRAME: 009977/0406

NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LEHNER, THOMAS

DOC DATE: 06/12/1998

ASSIGNEE:

UNTD MED & DENT SCHLS OF GUY'S &  
ST. THOMAS'S HOSP.  
28TH FLOOR, GUY'S TOWER  
GUY'S HOSPITAL, LONDON BRIDGE  
LONDON, ENGLAND SE1 9RT

SERIAL NUMBER: 09312157

FILING DATE: 05/14/1999

PATENT NUMBER:

ISSUE DATE:

LAWAN FLETCHER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

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AUG 04 1999  
U.S. PATENT & TRADEMARK OFFICE

05-28-1999

FORM PTO-1595  
1-31-92

COVER SHEET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Docket No. 212/127

101049733

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Lehner, Thomas

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

## 2. Name and address of receiving party:

Name: Untd Med & Dent Schls of Guy's & St.Thomas's HospInternal Address: 28th Floor, Guy's Tower  
Guy's Hospital, London BridgeCity: London State: England Zip: SE1 9RTStreet Address: Same as above

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other \_\_\_\_\_

Execution Date: \_\_\_\_\_



## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s). 08434000

B. Patent No(s).:

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Jeffrey W. GuiseInternal Address: LYON & LYON LLP633 West Fifth Street, Suite 4700  
Los Angeles, CA 90071-20666. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41): \$ 40.00☒ Enclosed☐ Charge this Deposit Account if any additional fee is required8. Deposit Account Number: 12-2475

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## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Date: 5/14/9905/25/1999 ABYES 00000004 09312157  
Jeffrey W. Guise, Reg No. 34,613

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Total number of pages including cover sheet: 2

OMB No. 0651-0011 (exp. 4/94)

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**ASSIGNMENT**

For valuable consideration, I(we), **Thomas Lehner** of Herts, England, hereby assigns to **UNITED MEDICAL AND DENTAL SCHOOLS OF GUY'S AND ST. THOMAS'S HOSPITALS**, a non-profit corporation of Great Britain having a place of business at 28th Floor, Guy's Tower, Guy's Hospital, London Bridge, London SE1 9RT, England, and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the invention and improvements which are the subject of an application for United States Patent entitled **METHOD FOR PRODUCING IMMUNOGLOBULINS CONTAINING PROTECTION PROTEINS IN PLANTS AND THEIR USES**, filed on May 4, 1995, U.S. Serial No. 08/434,000, this assignment including said application, any and all United States and foreign patents granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and I(we) authorize the Assignee to apply in all countries in my name or in its own name for patents and like rights of exclusion and for inventor's certificates for said inventions and improvements; and I(we) agree for myself and my heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this Assignment.

IN WITNESS WHEREOF, I hereto set my hand and seal at London, this \_\_\_\_\_ day of 12th June, 1998.

Thomas Lehner  
Thomas Lehner



State of ENGLAND :

ss.



County of LONDON :

Before me this 12th day of June, 1998, personally appeared Thomas Lehner, known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he/she executed the same as his/her free act and deed for the purposes therein contained.

Ruth M. Campbell  
Notary Public

London, England (RUTH M. CAMPBELL)  
My commission expires with life



23-APR-98 THU 0:50

619 457 8390

P. 4



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
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Washington, D.C. 20231

JUNE 02, 2000

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LYON & LYON LLP  
JEFFREY W. GUISE  
633 WEST FIFTH STREET, SUITE 4700  
LOS ANGELES, CA 90071-2066



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RECORDATION DATE: 02/29/2000

REEL/FRAME: 010667/0912  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MOSTOV, KEITH E.

DOC DATE: 05/21/1999

ASSIGNEE:

REGENTS OF THE UNIVERSITY OF  
CALIFORNIA, THE  
1111 FRANKLIN STREET  
OAKLAND, CALIFORNIA 94607

SERIAL NUMBER: 08434000  
PATENT NUMBER: 6046037

FILING DATE: 05/04/1995  
ISSUE DATE: 04/04/2000

SHAREILL COLES, EXAMINER  
ASSIGNMENT DIVISION  
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04-10-2000



OMMERCE  
mark Office

Docket No. 212/127

101314433

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):  
Mostov, Keith E.  
Additional name(s) of conveying party(ies) attached?  
☐ Yes ☒ No

2. Name and address of receiving party:  
Name: The Regents of the University of California

Internal Address: 1111 Franklin Street

City: Oakland State: CA Zip: 94607

Street Address: Same as above

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:  
☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
  
☐ Other \_\_\_\_\_

Execution Date: May 21, 1999

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s). 08434000

B. Patent No(s).:

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Jeffrey W. Guise

Internal Address: LYON & LYON LLP  
633 West Fifth Street, Suite 4700  
Los Angeles, CA 90071-2066

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed

☒ Charge this Deposit Account if any additional fee is required

8. Deposit Account Number: 12-2475

04/10/2000 JSHABAZZ 00000103 08434000

01 FC:581

40.00 DP

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Jeffrey W. Guise  
Jeffrey W. Guise, Reg No. 34,613

Date: 2/27/00

Total number of pages including cover sheet: 3

OMB No. 0651-0011 (exp. 4/94)

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Washington, D.C. 20231

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ASSIGNMENT OF PATENT APPLICATION

WHEREAS, I, KEITH E. MOSTOV, a citizen of UNITED STATES OF AMERICA, (hereinafter referred to as "ASSIGNOR"), have invented and own a certain invention entitled METHOD FOR PRODUCING IMMUNOGLOBULINS CONTAINING PROTECTION PROTEINS AND THEIR USES for which application for Letters Patent of the United States of America has been filed on May 4, 1995, and assigned Serial No. 08/434,000; and

WHEREAS, **THE REGENTS OF THE UNIVERSITY OF CALIFORNIA**, a corporation organized and existing under and by virtue of the laws of the State of **California** and having its principal place of business at **1111 Franklin Street, Oakland, CA 94607** (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby sells, assigns, transfers and sets over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks to issue said Letters Patent or any legal equivalent thereof to said ASSIGNEE, its successors and assigns, in accordance with this Assignment.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

WITNESS my hand at San Francisco,  
California, this 21<sup>st</sup> day of May, 1999.

Keith E. Mostov  
KEITH E. MOSTOV

STATE OF CALIFORNIA )  
 ) ss  
COUNTY OF SAN FRANCISCO

On MAY 21, 1999 before me, MARIO CARMONA, JR. - NOTARY PUBLIC, personally appeared  
KEITH E. MOSTOV

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) ~~is~~ are subscribed to the within instrument and acknowledged to me that ~~he/she/they~~ executed the same in ~~his/her/their~~ authorized capacity(ies), and that by ~~his/her/their~~ signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Mario Carmona Jr.  
Notary Public in and for said County and State

